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CERTIFICATE OF MAILING

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Name (Print Type) Donna Macedo Signature *Donna Macedo* Date 11-14-2001



TRANSMITTAL

☐ Small Entity ☐ Large Entity

Application Number 09/930,832  
Confirmation Number 2374  
Filing Date August 15, 2001  
First Named Inventor Mark A. Kay  
Examiner Unassigned  
Group Art 1648  
Attorney Docket No. STAN107DIV

ENCLOSED:

☐ Amendment Under Rule

☐ 37 CFR §

☐ Pages

Claims

No. of claims as  
filed or after  
amendment

Most claims  
previously  
paid for

# Extra Claims

Rate

Totals

Total

Independent

Multiple

Total Extra Claim Fees

\$ -

\$ -

\$ -

☐ Applicants Petition for an Extension of time from \_\_\_\_\_ to \_\_\_\_\_ Fee \_\_\_\_\_  
A month extension was previously filed and paid for thereby reducing the basic fee

☐ Response to File Missing Parts (with copy of formalities letter)

☐ Filing Fee

Fee

☐ Executed Declaration

Pages

Surcharge Fee

☐ Other

Fee

Fee

Fee

Fee

Subtotal

\$ -

☒ Information Disclosure Statement

☒ PTO Form 1449

Pages

2

☐ Copies of Cited References

☐ Other

Fee

Subtotal

\$ -

☒ Response to Notice to Comply (with copy of Notice to Comply)

☒ Sequence Listing Certification

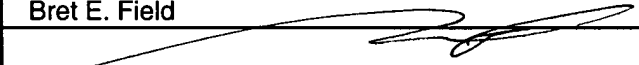
☒ Paper Copy of Sequence Listing

Pages

☒ Diskette in computer-readable format

☐ Other

Fee

<input type="checkbox"/> Terminal Disclaimer		Fee
<input type="checkbox"/> Appeal to Board of Appeals and Appeal Communication to Group		
<input type="checkbox"/> Notice of Appeal	Pages _____	Fee _____
<input type="checkbox"/> Appeal Brief in Triplicate	Pages _____	Fee _____
<input type="checkbox"/> Reply Brief	Pages _____	Fee \$ -
		Subtotal \$ -
<input type="checkbox"/> Other Enclosures and/or Fees _____		Fee _____
<input type="checkbox"/> Change of Correspondence Address		
<input checked="" type="checkbox"/> Return Receipt Postcard		TOTAL FEES \$ -
<p>The Commissioner is authorized to charge any fees which may be required, or credit any overpayment to Deposit Account 50-0815. If additional fees are required, including extensions of time, please consider this a petition therefore.</p>		
<b>SIGNATURE OF APPLICANT, ATTORNEY OR AGENT REQUIRED</b>		
Name (Print/Type)	Bret E. Field	Registration No. 37,620
Signature		Date 11-14-2001
Firm Name	Bozicevic, Field & Francis LLP	Address 200 Middlefield Road, Suite 200
City	Menlo Park	State California zip 94025
Telephone - Direct Dial	650-327-3400	Facsimile 650-327-3231

Application No. 09/930,832 Attorney Docket No. STAN107DIV Page 2 of 2

**CERTIFICATE OF MAILING**

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Typed or Printed Name Donna Macedo

Signature

*Donna Macedo*

Date

11/14/01

**RESPONSE TO  
NOTICE TO COMPLY**

Address to:  
Commissioner for Patents  
Washington, D.C. 20231

Attorney Docket

STAN107DIV

First Named Inventor

Mark A. Kay

Application Number

09/930,832

Filing Date

August 15, 2001

Group Art Unit

1648

Examiner Name

Unassigned

Title

Novel Adenoviral Vector and Methods for Making and Using the Same



Sir:

This communication is responsive to the Notice to Comply dated September 14, 2001, which set a two month period for filing this response, making this response due on November 14, 2001.

Pursuant to 37 CFR §1.821(e), applicant submits herewith a Sequence Listing in computer readable form to be filed in the subject application. In addition, applicant submits a paper copy of the Sequence Listing as required under 37 CFR §1.821(c). The Sequence Listing was prepared with the software FASTSEQ, and conforms with the Patent Office guidelines.

As required by 37 CFR §1.821(f), the information in the hard copy and computer readable form are identical. Applicant respectfully submits that the subject application is in adherence to 37 CFR §§1.821-1.825.

I hereby state that this submission, filed in accordance with 37 CFR §1.821(g), does not contain new material.

Applicants believe that no fee is due in connection with the filing of this paper. However, the Commissioner is hereby authorized to charge any fees which may be required by this paper, or to credit any overpayment, to Deposit Account No. 50-0815.

Respectfully submitted,  
BOZICEVIC, FIELD & FRANCIS LLP

Date: 11.14.01

By: *Bret E. Field*  
Bret E. Field  
Registration No. 37,620

BOZICEVIC, FIELD & FRANCIS LLP  
200 Middlefield Road, Suite 200  
Menlo Park, CA 94025  
Telephone: (650) 327-3400  
Facsimile: (650) 327-3231  
F:\Document\STAN\107DIV\notice to comply.doc.



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/930,832	08/15/2001	Mark A. Kay	STAN107DIV

CONFIRMATION NO. 2374

## FORMALITIES LETTER



\*OC000000006559646\*

Bret E. Field  
Bozicevic, Field and Francis LLP  
Suite 200  
200 Middlefield Road  
Menlo Park, CA 94025

Date Mailed: 09/14/2001

**NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS  
CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE  
DISCLOSURES**

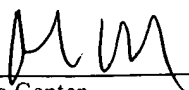
Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file the items indicated below to avoid abandonment. Extensions of time may be obtained under the provisions of 37 CFR 1.136(a).

- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov

*A copy of this notice **MUST** be returned with the reply.*

A handwritten signature in black ink, consisting of stylized, overlapping loops and curves, positioned above a horizontal line.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE